

**SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: William R. Hambrecht et al. Attorney Docket: 2955/107
Serial No: 10/632,818 Art Group Unit: 3624 S691
Date Filed: August 4, 2003 Examiner Name: Campen, K.
Invention: Auction System and Method for Pricing and Allocation During Capital Formation

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

RV
6/3/04

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|------------------|----------------------|------------|-------------------|----------------|
| Examiner Initials | Reference Number | Document Number | Issue Date | Inventor | Class/Subclass |
| /KC/ | EH | US 6,629,081 2 B1 | 9/30/03 | Hambrecht, et al. | 703/97 |

| OTHER DOCUMENTS | | | |
|-------------------|------------------|-------------------------|--|
| Examiner Initials | Reference Number | Author | Title of Article, Title of Journal, Volume Number, Page Numbers, Date |
| /KC/ | EI | Sarah Stirland | "Wall Street is Rattled by Software That Can Remake Competitive Deals", The Bond Buyer, Aug. 21, 1996, pg. 1 |
| /KC/ | EJ | Fujishima, Yuzo, et al. | "Speeding Up Ascending-Bid Auctions", Stanford University, Stanford, CA, pgs. 1-6 |
| /KC/ | EK | Milgrom, Paul | "Putting Auction Theory to Work: The Simultaneous Ascending Auction", Dept. of Economics, Stanford University, December 8, 1997, revised April 21, 1999, pgs. 1-25 |
| /KC/ | EL | | IPO: Robertson, Hambrecht tap into the Net |

Examiner Signature: /Kelly Campen/

7/2007

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if *not* in conformance and not considered. Include copy of this form with next communication to applicant.